

State of Missouri  
Office of Secretary of State

Case No. AP-06-10

IN THE MATTER OF:

DENNIS V. EDWARDS,

*Respondent.*

Serve: Dennis V. Edwards at:

18921 G. East Valley View # 256  
Independence, MO 64055

**FINAL ORDER TO CEASE AND DESIST AND ORDER  
IMPOSING CIVIL PENALTIES AND PAYMENT OF COSTS**

On May 18, 2007, the Enforcement Section of the Securities Division, by and through Mary S. Hosmer, Assistant Commissioner of Securities, submitted a Petition for Final Order to Cease and Desist and Order Imposing Civil Penalties and Costs (the "Petition"). After reviewing the Petition, the Commissioner issues the following findings of fact, conclusion of law, and order:

1. On August 21, 2006, the Missouri Commissioner of Securities issued an Order to Cease and Desist and Order to Show Cause Why Civil Penalties and Costs Should not be Imposed (the "Order").
2. On January 26, 2007, Respondent was served with the Order pursuant to Section 409.6-611(b), RSMo. (Cum. Supp. 2006), by leaving a copy of this process in the office of the Commissioner.
3. On January 26, 2007, following other attempts at personal service upon the Respondent, a Notice of Service of Process Upon Commissioner, and a copy of the Order, were sent to Respondent's last known address.
4. Pursuant to Section 409.6-611(b), RSMo. (Cum. Supp. 2006), such service of process on the Commissioner has the same force and validity as personal service upon the Respondent.
5. The Respondent did not request a hearing, and the Commissioner has received no correspondence or communication from the Respondent.
6. The time to request a hearing in this matter, as provided in Section 409.6-604(b), RSMo. (Cum. Supp. 2006), and MO 15 CSR 30-55.020, has expired.
7. In the Petition, the Enforcement Section of the Securities Division requested a Final Order to Cease and Desist as to the Respondent in this matter.

8. In the Petition, the Enforcement Section of the Securities Division requested that Respondent pay the costs of investigation in this matter in the amount of three thousand four hundred forty-five dollars (\$3,445).
9. In the Petition, the Enforcement Section of the Securities Division requested the Commissioner issue an Order requiring the Respondent to pay a civil penalty in the amount of ten thousand dollars (\$10,000) for a violation of Section 409.3-301, RSMo. (Cum. Supp. 2006).
10. In the Petition, the Enforcement Section of the Securities Division requested the Commissioner issue an Order requiring the Respondent to pay a civil penalty in the amount of ten thousand dollars (\$10,000) for violation of Section 409.5-501, RSMo. (Cum. Supp. 2006).
11. This order is in the public interest and consistent with the purposes intended by the Missouri Securities Act of 2003

## **ORDER**

**NOW, THEREFORE,** it is hereby ordered that:

- A. The Cease and Desist Order entered in Case Number AP-06-10 on August 21, 2006, is **FINAL**.
- B. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2005), Respondent shall pay, within thirty (30) days from the date of service of this order, the sum of six thousand dollars (\$6,000) to the State of Missouri as a civil penalty for multiple violations of Section 409.3-301, RSMo. (Cum. Supp. 2005). This amount shall be sent to the Secretary of State and made payable to the State of Missouri, and the Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent shall deliver this payment to the Securities Division, 600 West Main Street, PO Box 1276, Jefferson City, Missouri 65102.
- C. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2005), Respondent shall pay, within thirty (30) days from the date of service of this Order, the sum of ten thousand dollars (\$10,000) to the State of Missouri as a civil penalty for multiple violations of Section 409.5-501, RSMo. (Cum. Supp. 2005). This amount shall be sent to the Secretary of State and made payable to the State of Missouri, and the Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent shall deliver this payment to the Securities Division, 600 West Main Street, PO Box 1276, Jefferson City, Missouri 65102.
- D. Pursuant to Section 409.6-604(e), RSMo. (Cum. Supp. 2005), Respondent shall pay, within thirty (30) days from the date of service of this Order, the additional sum of three thousand four hundred forty-five dollars (\$3,445) as reimbursement for the costs of the investigation and administration of this matter. This amount shall be sent to the Secretary of State's Investor Education and Protection Fund. Respondent shall deliver this payment to the Securities Division, 600 West Main Street, PO Box 1276, Jefferson City, Missouri 65102.

E. Pursuant to Section 409.6-604(f), RSMo. (Cum. Supp. 2006), this matter shall be referred to the Missouri Attorney General's Office to collect the fines and costs described in this Final Order, as necessary.

**SO ORDERED:**

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY,  
MISSOURI THIS 24<sup>TH</sup> DAY OF MAY, 2007.

ROBIN CARNAHAN  
SECRETARY OF STATE

**CERTIFICATE OF SERVICE**

(Signed/Sealed)  
MATTHEW D. KITZI  
COMMISSIONER OF SECURITIES

I hereby certify that on this 24<sup>th</sup> day of May, 2007, a copy of the foregoing Final Order in the above styled case was mailed by certified U.S. Mail, postage prepaid to Respondent at the above listed address.

Dennis V. Edwards  
18921 G. East Valley View # 256  
Independence, Missouri 64055

**And hand delivered to:**

Mary S. Hosmer  
Assistant Commissioner  
Securities Division

John Hale, Specialist